



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

MAR 28 2002

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/930,781	08/15/2001	George Y. Wu	A32407-PCT-USA-A065125.01

CONFIRMATION NO. 2538

## FORMALITIES LETTER



\*OC00000006590982\*

BAKER BOTTS L.L.P.  
30 ROCKEFELLER PLAZA  
NEW YORK, NY 10112

Date Mailed: 09/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

*A copy of this notice **MUST** be returned with the reply.*

03/29/2002 MAR211 00000002 09930781

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65.00 OP

Hayat

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

208210 TB 032802



407-PCT-USA-A 065125.0108

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Wu et al.  
Serial No. : 09/930,781 Examiner: TBA  
Filed : August 15, 2001 Group Art Unit: 1632  
For : PROPAGATION OF HUMAN HEPATOCYTES  
IN NON-HUMAN ANIMALS

RESPONSE TO NOTICE OF MISSING PARTS

I hereby certify that this paper is being deposited with the  
United States Postal Service as first class mail in an  
envelope addressed to: Assistant Commissioner of Patents,  
Washington, D.C. 20231.

Date: March 20, 2002

Attorney: Lisa B. Kole

Lisa B. Kole  
Signature

PTO Reg. No. 35,225

March 20, 2002  
Date of Signature

Assistant Commissioner of Patents  
Washington, D.C. 20231

SIR:

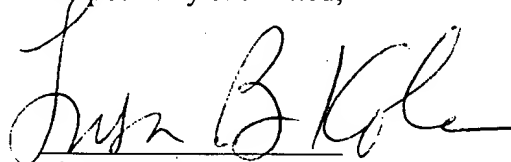
In response to the "Notice to File Missing Parts" mailed September 21, 2001, Applicants  
submit herewith:

- (i) An executed Combined Declaration and Power of Attorney, together with the  
required fee, estimated to be \$65.00 for a small entity;
- (ii) Substitute drawings in compliance with 37 CFR 1.84; and

(iii) a Petition for four (4) months extension of time, up to and including March 21, 2002, accompanied by the appropriate fee of \$720.00.

The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication to Deposit Account No. 02-4377. A duplicate copy of this sheet is enclosed.

Respectfully submitted,



Lisa B. Kole

PTO Reg. No. 35,225

(212) 408-2628

BAKER BOTTS, L.L.P.  
ATTORNEYS FOR APPLICANTS

20020731.032802

**BAKER BOTTS**

Please type a plus sign (+) inside this box

MAR 28 2002

**COPY OF PAPERS  
ORIGINALLY FILED****TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

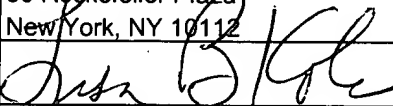
Application Number	09/930,781
Filing Date	08/15/2001
First Named Inventor	Wu
Group Art Unit	1632
Examiner Name	To be assigned
Attorney Docket Number	A32407-PCT-USA-A

Total Number of Pages in This Submission

**ENCLOSURES (check all that apply)**

- |                                                                                         |                                                                                         |                                                                                            |
|-----------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input checked="" type="checkbox"/> Fee Attached                                        | <input checked="" type="checkbox"/> Drawing(s) - 34 sheets                              | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment / Reply                                              | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final                                                    | <input type="checkbox"/> Petition                                                       | <input type="checkbox"/> Proprietary Information                                           |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter                                                     |
| <input checked="" type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Other Enclosure(s) (please identify below):                       |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer                                            |                                                                                            |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Request for Refund                                             |                                                                                            |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                         | <input type="checkbox"/> CD, Number of CD(s) _____                                      |                                                                                            |
| <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application   | Remarks <input type="checkbox"/>                                                        |                                                                                            |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |                                                                                         |                                                                                            |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	BakerBotts LLP 30 Rockefeller Plaza New York, NY 10112	
Signature		Att Name: Lisa B. Kole PTO Reg: 35,225
Date	March 20, 2002	

**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: March 20, 2002

Typed or printed name	Lisa B. Kole	
Signature		Date March 20, 2002

# BAKER BOTTS LLP

## FEE TRANSMITTAL

for FY 2001

MAR 28 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 785

Complete if Known

Application Number	09/930,781
Filing Date	08/15/2001
First Named Inventor	Wu
Examiner Name	To be assigned
Group Art Unit	1632
Attorney Docket No.	A32407-PCT-USA-A

### METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

02-4377

Deposit Account Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Small Entity

Fee (\$)	Fee (\$)	Fee Description	Fee Paid
740	370	Utility filing fee	
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) (\$ 0

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20	20	0	0
3	3	0	0
Multiple Dependent			

Large Entity Small Entity

Fee (\$)	Fee (\$)	Fee Description	Fee Paid
18	9	Claims in excess of 20	
84	42	Independent claims in excess of 3	
280	140	Multiple dependent claim, if not paid	
84	42	** Reissue independent claims over original patent	
18	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 0

\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	65
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	720
1,960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,280	640	Petition to revive - unintentional	
1,280	640	Utility issue fee (or reissue)	
460	230	Design issue fee	
620	310	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370	For each additional invention to be examined (37 CFR § 1.129(b))	
740	370	Request for Continued Examination (RCE)	
900	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 785

### SUBMITTED BY

Name (Print/Type) Lisa B. Kole

Signature

Registration No. (Attorney/Agent)

35,225

Complete (if applicable)

Telephone (212) 408-2628

Date

March 20, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## Fee:

☒ Enclosed

<input checked="" type="checkbox"/>	Basic filing fee	\$355.00
<input type="checkbox"/>	Recording Assignment [\$40.00; 37 CFR 1.21(h)]	\$0.00

Total Fees Enclosed	<u>\$355.00</u>
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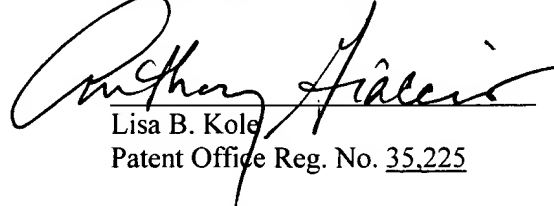
☒ A check in the amount of \$355.00 to cover filing fee is enclosed.☐ Please charge our Deposit Account No. 02.4377 in the amount of \_\_\_\_\_. Two copies of this sheet are enclosed.

## Priority:

☒ Priority is claimed of international application Serial No. PCT/US00/05713 filed March 3, 2000 and published in English, which is a continuation-in-part of prior U.S. Application No. 09/431,901 filed November 2, 1999, now pending.☐ Certified Copy of Priority Document(s) Country \_\_, Appln No. \_\_, filed \_\_.☐ has been filed in the parent application S/N \_\_\_\_\_.☐ is/are attached.☐ will follow.☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17, and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.☒ The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.☒ The Commissioner is conditionally authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.

Respectfully submitted,

BAKER BOTTS L.L.P.



Lisa B. Kole  
Patent Office Reg. No. 35,225

Anthony Giaccio  
Patent Office Reg. No. 39,684

Attorneys for Applicants  
(212) 408-2500

Enclosures

09930781-081504